

Application Forms & Instructions

**for Business,
Education, and Health Care**

accomplishment



recognition



The Malcolm Baldrige National Quality Award

The Award, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat, gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions: "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Awards are made annually to recognize U.S. organizations for performance excellence. The Award eligibility categories include:

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

Changes to the Eligibility Rules

To increase the opportunity for feedback for more organizations and in response to applicant requests to allow more subunits in organizations to take advantage of the Award process, the multiple application restriction has been modified. In some cases, more than one subunit of a parent organization may apply for the Award. For more information, refer to page 8 of this booklet.



Crystal by Steuben

The Malcolm Baldrige National Quality Award logo and the phrases "Quest for Excellence" and "Performance Excellence" are trademarks and service marks of the National Institute of Standards and Technology.

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If you plan to apply for the Award in 2000, you will also need the appropriate *2000 Criteria for Performance Excellence* (Business, Education, or Health Care) for your particular organization. Ordering information is given on page 24.

Eligibility Determination Package due — April 6, 2000
Award Application Package due — May 31, 2000

The Malcolm Baldrige National Quality Award and Award Process

What is the purpose of this booklet?

The purpose of this booklet is to provide eligibility and application instructions and forms to organizations interested in applying for the Malcolm Baldrige National Quality Award.

What is the Malcolm Baldrige National Quality Award?

The Malcolm Baldrige National Quality Award, created by public law in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive.

The major focus of the Award is on results, including customer satisfaction. It is **not** given for specific products or services. To receive an Award, an organization must have a system that ensures continuous improvement in the delivery of products and/or services and provides a way of satisfying and responding to stakeholders.

Up to three Awards may be given annually in each of five eligibility categories: manufacturing businesses, service businesses, small businesses, education organizations, and health care organizations.

Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does it recognize excellent organizations, the Award also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from implementation of these strategies.

Who may participate?

Organizations that may apply include: privately and publicly owned for-profit businesses headquartered in the United States and its territories; for-profit and not-for-profit public, private, and government education organizations that provide educational services to students in the United States and its territories; and for-profit and not-for-profit public, private, and government health care organizations, which are located in the United States and its territories, and are primarily engaged in providing medical, surgical, or other health services directly to persons. Subunits of organizations may apply if they meet certain requirements.

Who is involved with the Award process?

National Institute of Standards and Technology (NIST): The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. NIST, an agency of the Department's Technology Administration, manages the Baldrige Program.

American Society for Quality (ASQ): ASQ assists in administering the Award Program under contract to NIST.

Board of Examiners: The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. The Board consists of leading U.S. business, health care, and education experts.

Judges: The Panel of Judges, part of the Board of Examiners, selects Award applicants to undergo site visits and recommends Award recipients. Judges are appointed by the Secretary of Commerce from all sectors of the U.S. economy.

Board of Overseers: The Board is appointed by the Secretary of Commerce and is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The Board consists of distinguished leaders from all sectors of the U.S. economy.

The Foundation for the Malcolm Baldrige National Quality Award: The Foundation raises funds to permanently endow the Award Program and manages the endowment.

Some of the seven Baldrige Categories have different names in the Business, Education, and Health Care Criteria. How do the Education and Health Care Criteria Categories differ from the seven Business Categories?

There is a very close alignment among all three Criteria and their related Categories. Three of the Categories — Category 1: Leadership; Category 2: Strategic Planning; and Category 4: Information and Analysis — have the same title in all three Criteria. The other four Categories have different titles that reflect differences in terminology among the three sectors. For example, in the Business Criteria, Category 3 is called "Customer and Market Focus." That same Category is called "Student and Stakeholder Focus" in the Education Criteria and "Focus on Patients, Other Customers, and Markets" in the Health Care Criteria.

What is the basis for the Criteria?

Criteria are developed from the state-of-the-art learnings of private and public sector organizations that are working to achieve organizational performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

How do applicants benefit from applying for the Award?

Each applicant gains an outside perspective on its organization based on 300 to 1,000 hours of review by members of the Board of Examiners. The results of this review are distilled in a feedback report, outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. High-scoring applicants receive site visits. The Panel of Judges recommends Award recipients from among the site-visited organizations. The Secretary of Commerce then makes the final selection of Award recipients.

What does an organization receive if it is an Award recipient?

Each Award recipient receives a crystal trophy bearing a gold-plated medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC. Award recipients may publicize and advertise their Awards.

Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless they receive an Award. Information submitted by applicants is also treated as confidential.

What is expected of Award recipients?

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Quest for Excellence Conference, highlighted on the inside back cover, and several

one-day regional conferences. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility determination, which involves establishing that the organization meets eligibility requirements. Instructions and forms for establishing eligibility begin on page 6.

Once eligibility has been determined, the second step consists of preparing and completing an application form and an application report. The application report must summarize the organization’s practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Award application instructions and forms begin on page 19.

2000 Baldrige Award Program Processes and Time Frames

Eligibility Determination

(Package postmarked to ASQ by **April 6, 2000**)

Prepare and submit the Eligibility Determination Package postmarked no later than April 6, 2000, to establish eligibility in one of five Award categories: manufacturing, service, small business, education, or health care. Remember to submit the nonrefundable Eligibility Determination Fee along with the Eligibility Determination Package. (See box on page 5.)

Note: In the event of multiple submissions from one parent organization, while all may be found eligible, the number of applicants for the Award will be determined by Rule VI.C., found on page 8.

Award Application

(Package postmarked to ASQ by **May 31, 2000**)

Prepare and submit 25 copies of the application report with the application fee(s) postmarked no later than May 31, 2000. The application fee, which must be included as part of the Award Application Package, covers expenses associated with the review of applications and the development of feedback reports. Fees are detailed on page 5.

Stage 1: Independent Review

(June - August 2000)

The application report is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the Panel of Judges determines which applications advance to Stage 2: Consensus Review. At each stage, applicants receive every reasonable consideration to advance to the next stage.

Stage 2: Consensus Review

(August - September 2000)

The application report is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of this review, the Panel of Judges determines which applicants should receive site visits.

Stage 3: Site Visit Review

(October - November 2000)

A team of four to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the application report. Site visits primarily consist of a review of pertinent records and data, and interviews with executives and employees. No site visits are conducted outside of the United States or its territories. Following the site visit, the site visit review team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, the organization is responsible for paying a site visit review fee, which helps to cover expenses associated with the site visit. Additional information on site visit fees is given on page 5.

Stage 4: Judges' Final Review

(November 2000)

The Panel of Judges conducts final reviews and presents Award recipient recommendations to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

Role Model Determination: The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients are appropriate role models and, therefore, should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure that the Award's integrity is preserved.

In determining role models, NIST conducts records checks on potential Award recipients to ensure compliance with legal and regulatory requirements. The records checked include those of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, and local police and judicial offices in the applicant's headquarters jurisdiction. No new or independent investigations are conducted.

Feedback Reports

(September 2000 - December 2000)

Each applicant, including Award recipients, receives a feedback report. Feedback reports are received after it is determined that the applicant will not move to the next stage of consideration for the Award or that the applicant is an Award recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence. The feedback reports contain applicant-specific listings of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

Award Ceremony

(Winter 2001)

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Fees for the 2000 and 2001 Award Cycles

Eligibility Determination Fee

For the 2000 Award Cycle, a nonrefundable fee of \$100 must be submitted to ASQ along with the Eligibility Determination Package postmarked no later than April 6, 2000. The eligibility fee will be \$150 in 2001.

Application Fee

The chart below shows the application fees for 2000 and 2001. For the 2000 Award cycle, the appropriate fee(s) must be submitted to ASQ with the Award Application Package postmarked no later than May 31, 2000.

	MANUFACTURING	SERVICE	SMALL BUSINESS	EDUCATION			HEALTH CARE	
	ALL	ALL	ALL	>500 EMPLOYEES & FOR-PROFIT	<500 EMPLOYEES & FOR-PROFIT	NOT-FOR- PROFIT	>500 EMPLOYEES	<500 EMPLOYEES
2000	\$4500	\$4500	\$1500	\$4500	\$1500	\$300	\$4500	\$1500
2001	\$5000	\$5000	\$2000	\$5000	\$2000	\$500	\$5000	\$2000

Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit. The fee is due to ASQ two weeks after completion of the site visit.

The site visit fee for small businesses, for-profit education organizations, and for-profit and not-for-profit health care organizations with fewer than 500 employees is one-half the rate required of applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors. These fees are expected to remain the same in 2001. In 2000, the site visit fee for not-for-profit educational organizations is \$1200. In 2001, that fee will be \$1500.

2000 Eligibility Determination Package Instructions

I. Purpose

The purpose of this section is to provide applicants with instructions for preparing the Eligibility Determination Package, which is the first step in applying for the Malcolm Baldrige National Quality Award. These instructions describe the considerations that are used to determine eligibility and explain how to complete the Eligibility Determination Form.

II. Objective

The objective of the Eligibility Determination Package is to provide sufficient information to establish whether the organization is eligible to apply for the Award. In addition, the completed Eligibility Determination Package represents a useful profile of the organization. For this reason, it is included in the application report and is often the first information about the applicant read by Examiners. This information is also used to avoid conflicts of interest when assigning applications to Examiners.

III. Submission Requirements

A. Eligibility Determination Package

1. The Eligibility Determination Form must be filled out completely and signed. All information provided is considered confidential.
2. The applicant must attach a line and box organization chart to the form. Each box within the chart should include the name of the head of the unit or division it describes.
3. If the applying organization is a subunit of a larger organization, the following must also be attached:
 - a copy of the relevant section/pages of an official publication supporting the subunit designation; and
 - line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent organization, *including all intervening and/or subunit levels*. Include the names of intervening and/or subunit levels and their leaders. This information is used to identify multiple applications from one parent.

B. Letter of Transmittal

A transmittal letter on the applicant's stationery signed by the applicant's Highest-Ranking Official must accompany the Eligibility Determination Package. The letter merely needs to state that the organization is submitting its eligibility application.

C. Fee

A check or money order for the \$100 nonrefundable fee must be attached to the Eligibility Determination Package. The fee must be payable to "The Malcolm Baldrige National Quality Award."

D. Submission

Potential applicants for the 2000 Award are encouraged to submit the Eligibility Determination Package as soon as possible. **The package must be postmarked no later than April 6, 2000.**

IV. Eligibility Determination

The Eligibility Determination Package will be reviewed promptly. If clarification is required, the designated Eligibility Contact Point or alternate will be contacted. ASQ will notify applicants of their eligibility status within 14 days of receipt of the package or request additional information, if necessary. ASQ will return the form showing the eligibility determination decision for inclusion in the Award Application Package.

V. Eligibility Categories

Public Law 100-107 established the three business eligibility categories of the Award: manufacturing, service, and small business. On October 30, 1998, President Clinton signed legislation expanding the eligibility categories to include education and health care organizations. Eligibility for the Award is intended to be as open as possible.

A. Business

Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. For-profit businesses include publicly or privately owned, domestic or foreign owned companies; joint ventures; corporations; sole proprietorships; partnerships; and holding companies.

Note: Local, state, and federal government agencies, not-for-profit organizations, trade associations, and professional societies are not eligible for the business categories.

The three business categories are defined as follows:

1. Manufacturing

Companies and some subunits (see VI. Restrictions on Eligibility, Part B) that produce and sell manufactured products or manufacturing processes, and those companies that produce

agricultural, mining, or construction products.
(See NAICS codes on page 18.)

2. Service

Companies and some subunits that sell services.

Note: Where an applicant is both a manufacturer and a service provider, the larger percentage of sales will determine the appropriate eligibility category.

3. Small Business

Companies with no more than 500 employees engaged in manufacturing and/or the provision of services.

B. Education

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits — including U.S. subunits of foreign organizations — that provide education services to students in the United States and its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include: elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools.

Departments within schools or colleges are ineligible.

Note: For-profit education organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the education category, using the Education Criteria.

C. Health Care

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits — including U.S. subunits of foreign organizations — located in the United States and its territories. These organizations must be primarily engaged in providing medical, surgical, or other health services directly to persons. Eligibility is intended to be as open as possible. For example, eligible organizations include: hospitals, health maintenance organizations, long-term care facilities, health care practitioner offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not directly provide health services to persons, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations — if they are for-profit — might be eligible under the service or small business categories.

Note: For-profit health care organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the health care category, using the Health Care Criteria.

Note: When an applicant is both an education organization and a provider of health care services to persons, the larger percentage of its budget will determine the appropriate eligibility category.

VI. Restrictions on Eligibility

The following restrictions and conditions ensure fairness and consistency:

A. Conditions

1. The applicant must have been in existence prior to April 6, 1999.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. If an applicant has some activities performed outside its immediate organization (e.g., by overseas components of the applicant, a parent organization, or other subunits), it must ensure that:
 - in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
 - in the event the applicant wins the Award, the applicant will be able to share information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

B. Subunits

For purposes of the 2000 Award Application, a subunit means a unit or division of a larger organization. The larger organization that owns or has organizational or financial control of a subunit will be referred to as the "parent." A parent means the highest level of a company or an organization that would be eligible to apply for the Award.

1. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
2. A subunit must have a clear definition of organization as reflected in organization literature, such as organization charts, administrative manuals, and annual reports; be recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.

3. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.
4. In the business eligibility categories, a subunit is ineligible if less than 50 percent of its products or services are sold or provided to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.
5. Subunits performing solely support functions are ineligible.

Examples of business support functions could be: sales, marketing, distribution, finance and accounting, human resources, environmental services, health and safety of employees, purchasing, legal services, and research and development.

Examples of education support functions could be: academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Examples of health care support functions could be: housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

6. In the business eligibility categories, a subunit must satisfy at least one of the following conditions:
 - it must have more than 500 employees; OR
 - it must have at least 25 percent of all employees in the worldwide operations of the parent; OR
 - it must have been independent prior to being acquired by the parent and continue to operate independently under its own identity.

C. Multiple-Application Restrictions

1. A subunit and its parent may not apply for Awards in the same year.
2. All subunits may apply for eligibility determination. In some cases, more than one subunit of a parent may apply for the Award. If the employee size of the parent, including all of its subunits, is:
 - 0-1000 parent employees, 1 applicant per parent per category may apply for the Award;
 - 1001-20,000 parent employees, 2 applicants per parent per category may apply for the Award;

- over 20,000 parent employees, 2 applicants per parent per category for the first 20,000, plus 1 per 20,000 or fraction thereof above 20,000 per parent per category may apply for the Award.
3. In the event of multiple submissions for the Award from subunits of the same parent beyond the limits noted in VI.C.2., the parent organization will be given the option of deciding which subunit(s) will represent it in the Award process. Alternatively, if the parent organization does not choose a representative subunit(s), the earliest postmarked application(s) for the Award will be determined to be the applicant(s) for the Award.

D. Restrictions on Award Recipients

If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply "for feedback only."

VII. Other Requirements

A. Site Visit Requirements

If some activities are performed outside the applicant's organization (for example, by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations.

B. Award Recipient Information Sharing Requirement

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

Eligibility Determination Form – Instructions

Instructions

1. Applicant

Provide the applicant's official name, which will be used to make the role model determination. (See page 5.) Also, provide any other names by which the applicant may be known publicly, and its previous name if there has been a name change within the last five years. Provide the address of the applicant's headquarters. Indicate whether or not the applicant has existed for at least one year, or prior to April 6, 1999. If the answer is "No," briefly explain.

Attach a line and box organization chart for the applying organization. Each box within the chart should include the name of the head of the unit or division it describes.

2. For-Profit/Not-For-Profit Designation

Check the appropriate response.

3. Industrial Classification

Using the three- or four-digit NAICS codes listed on page 18, provide up to three codes that best describe the applicant's products and/or services.

4. Award Category

Based on the information given on pages 6 through 8, indicate which of the five Award categories is appropriate and which of the three Criteria (Business, Education, or Health Care) will be used to prepare the application.

5. Size and Location of Applicant

- Estimate the number of employees as of April 6, 2000.
- Check the appropriate financial descriptor (sales, revenues, or budgets) and the appropriate range for the preceding fiscal year.
- Indicate the number of sites the applicant has. Offices or other work areas located near each other need not be counted as separate sites if they are considered one location for business and personnel purposes.
- State the approximate percent (to the nearest whole number) of the applicant's employees who are located in the United States or its territories.
- State the approximate percent (to the nearest whole number) of the applicant's physical assets located in the United States or its territories.
- Check the appropriate response.
- Check the appropriate response.

6. Site Listing and Descriptors

- Provide the complete address of each site. In cases where many sites perform the same function, aggregate the sites under one listing and make a summary statement about the locations instead of listing an address for each one. If a site visit is to be conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. No site visits will be conducted at facilities outside the United States or its territories.
- Provide the **number** of the applicant's employees at each site. Circle the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate **percent** of sales, revenues, or budgets accounted for by the output of each site. Use "Not Applicable" (N/A) for percent of sales, when appropriate.
- Describe the types of all major products or services that constitute the output of each site. It may be necessary to state the relationship between the output of the site and the applicant's final products and services. It is not necessary to list every product or service.

7. Key Business/Organization Factors

Provide the following information:

- List of key competitors
- Description of applicant's products, services, and technologies
- List of key customers/users
- Description of major markets (local, regional, national, and international)
- List of key suppliers
- The name of the organization's financial auditor
- Description of the importance of suppliers, dealers, distributors, and franchises

Note: The lists of key competitors, customers/users, and suppliers (including the financial auditor) are used to consider conflicts of interest in assigning Examiners.

8. Subunits

If the applicant is a subunit of a larger organization, then responses to 8a through 8j are required; otherwise, go to question 9.

- a. Provide the name and address of the parent and the name and title of the Highest-Ranking Official of the highest ownership level of the parent. Provide the number of worldwide employees of the parent, including all subunits. Do not include joint ventures.

Business applicants only:

- b. Check the appropriate response.
- c. Check the appropriate response.
- d. Check the appropriate response.
- e. Check the appropriate response. If two or more subunits from the parent are planning to apply for eligibility, provide a brief explanation.
- f. **Business applicants only:** Check the appropriate response. If the answer is “No,” briefly describe these customers/users and their relationship to the applicant.
- g. Submit a short official document, such as an annual report or the appropriate page(s) from an organization publication, that shows the organization of the parent and its relationship to the applying unit. This publication must show that the applying unit has existed for at least one year. Provide the title and a copy of this document.
- h. Briefly describe the applying unit’s organizational structure and management links to the parent.
Attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels.
- i. Check the appropriate response. If “Yes” is checked, provide a brief description of the market and product or service similarity and the organizational relationships of all units providing the same or similar products and services as well as the approximate sales, revenues, or budgets for each of those units. Also, if “Yes” is checked, explain how the applicant is distinguishable from the parent and its other subunits.
- j. Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent.

9. Supplemental Sections

Check the appropriate response. If “No” is checked, the Eligibility Contact Point may be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections in addition to the application report. (See page 19.) The use of supplemental sections must be approved during the eligibility determination process and is mandatory once approved.

10. Eligibility Contact Point

During the review of the 2000 Eligibility Determination Form and associated materials, it may be necessary to contact the applicant for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries during the month following submission of the Eligibility Determination Form.

11. Alternate Eligibility Contact Point

In the event that the Eligibility Contact Point is not available, an Alternate Eligibility Contact Point will be needed to answer questions or convey a message to the Eligibility Contact Point. Please designate a person who is available during regular business hours.

12. Signature

Provide the necessary contact information and the signature of the applicant’s Highest-Ranking Official.

Eligibility Determination Package Preparation Instructions

The 2000 Eligibility Determination Form may be duplicated. In addition, page 2 of the 2000 Eligibility Determination Form (Item 6, Site Listing and Descriptors) should be duplicated if all sites cannot be listed on a single page. All other responses should be included in the space provided on the forms.

Use the check list on page 17 to ensure that all components of the Eligibility Determination Package have been addressed. Send a letter of transmittal on the applicant’s stationery along with the completed form, associated materials, and fee to:

Malcolm Baldrige National Quality Award

c/o ASQ — Baldrige Award Administration
611 East Wisconsin Avenue • Milwaukee, WI 53202
(414) 298-8789, Extension 7205

To avoid delay, applicants are encouraged to submit their completed Eligibility Determination Package **as soon as possible. The package must be postmarked no later than April 6, 2000.** All items should be answered. Incomplete forms will cause a delay in determination. All information is considered confidential.

Eligibility Determination

ASQ will return your form with the official eligibility determination checked in the appropriate box. An approved 2000 Eligibility Determination Form must accompany each of the 25 copies of the application report.

The 2000 Eligibility Determination Package must be postmarked on or before April 6, 2000, to be considered for the 2000 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.

Malcolm Baldrige National Quality Award

1 Applicant

Official Name _____

Other Name _____

Prior Name _____

Headquarters Address _____

Has the applicant officially or legally existed for at least one year, or prior to April 6, 1999?

(Check one.) ☐ Yes ☐ No (Briefly explain.)

Attach a line and box organization chart for the applying organization, including the name of the head of each unit or division.

2 For-Profit/Not-For-Profit Designation

The applicant is a for-profit organization____; a not-for-profit organization____. (Check one.)

3 Industrial Classification

List up to three of the most descriptive three- or four-digit NAICS codes. (See page 18.)

4 Award Category (Check one.)

☐ Manufacturing ☐ Service

☐ Small Business

☐ Education ☐ Health Care

Criteria being used (Check one.)

☐ Business ☐ Education ☐ Health Care

5 Size and Location of Applicant

a. Total number of employees (business), faculty/staff (education), staff (health care) _____

b. Preceding fiscal year:

Check one financial descriptor.

☐ Sales ☐ Revenues ☐ Budgets

Check amount.

☐ 0-\$1M ☐ \$1M-\$10M ☐ \$10M-\$100M

☐ \$100M-\$500M ☐ \$500M-\$1B ☐ Over \$1B

c. Number of sites in U.S./territories ☐ Overseas ☐

d. Percent employees in U.S./territories _____

e. Percent physical assets in U.S./territories _____

f. If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations?

☐ Yes ☐ No ☐ Not Applicable

g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at the Quest for Excellence Conference and at its U.S. facilities?

☐ Yes ☐ No

6 Site Listing and Descriptors

Please refer to the instructions on page 9 to complete the Site Listing and Descriptors form on the next page (12). It is important that the totals for the number of employees, faculty and staff; percent of sales, revenues, and budgets; and sites on the form match the totals provided in 5.a., 5.b., and 5.c. above. For example, if you report 600 employees in 5.a., the total number of employees provided in the Site Listing and Descriptors form should be 600.

OMB Clearance #0693-0006
Expiration Date: October 31, 2002

This form may be copied and attached to, or bound with, other application materials.

Malcolm Baldrige National Quality Award

6 Site Listing and Descriptors

a. Address of Site	b. Size of Site		c. Description of Products or Services
	Number of Employees, Faculty, and Staff	Percent of Sales, Revenues, or Budgets (Circle one.)	

Use as many copies of this page as necessary to cover all sites.

Provide all the information for each site, except where multiple sites produce similar products or services. For such multiple site cases, see 5.c. on page 9.

Malcolm Baldrige National Quality Award

7 Key Business/Organization Factors

List or provide a brief description of the following key business/organization factors.

- a. List of key competitors

b. Description of the applicant's products, services, and technologies
- c. List of key customers/users

d. Description of the major markets (local, regional, national, and international)

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7 Key Business/Organization Factors (Continued)

- e. List of key suppliers
- f. The name of the organization's financial auditor
- g. Description of the importance of the applicant's suppliers, dealers, distributors, and franchises

8 Subunits

Is the applicant a subsidiary, unit, division, or like organization of a larger parent? (Check one.)

___Yes (Continue.) ___No (Go to Item 9.)

a. Parent Organization

Name _____

Address _____

Highest-Ranking Official

Name _____

Title _____

Number of worldwide employees of the parent

b. **Business Only:** Does the applicant have more than 500 employees?
(Check one.) ___Yes ___No

c. **Business Only:** Does the applicant comprise over 25 percent of the worldwide employees of the parent?
(Check one.) ___Yes ___No

d. **Business Only:** Was the applicant independent prior to being acquired, and does it continue to operate independently under its own identity?
(Check one.) ___Yes ___No

e. Does the applicant's parent or another subunit of the parent intend to apply for eligibility?
(Check one.)
___Yes (Briefly explain.) ___No ___Do not know

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8

Subunits (Continued)

- f. **Business Only:** Are over 50 percent of the applicant's products or services sold or provided to customers/users outside the applicant's organization, its parent, and other organizations that own or have financial or organizational control of the applicant or parent?

(Check one.) ☐ Yes ☐ No (Briefly explain.)

- g. Name the official document supporting the subunit designation.

Include a copy of the document with this form.

- h. Briefly describe the organizational structure and management links to the parent.

Attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. Each box within the chart should include the name of the head of the unit or division it describes.

- i. Do other units within the parent provide similar products or services?

(Check one.) ☐ Yes (Briefly explain.) ☐ No

If "Yes," also explain how the applicant is distinguishable from the parent and its other subunits.

- j. Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent.

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9 Supplemental Sections

Does the applicant have: (a) a single performance system that supports all of its product and/or service lines; and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning?

(Check one.)

☐ Yes (Go to Item 10.)

☐ No (Briefly describe the differences in the products and/or services covered in terms of differences in customers, technology, types of employees, and planning. The Eligibility Contact Point will be asked for more information if necessary.)

10 Eligibility Contact Point

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Mailing Address _____

Overnight
Mailing Address (Do not indicate a P.O. Box number.) _____

Telephone No. _____

Fax No. _____

11 Alternate Eligibility Contact Point

Mr.
Mrs.
Ms.
Name Dr. _____

Telephone No. _____

Fax No. _____

12 Signature, Highest-Ranking Official

Date _____

X

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Address _____

Telephone No. _____

Fax No. _____

DO NOT WRITE BELOW THIS LINE

2000 Eligibility Determination

☐ Manufacturing

☐ Education

☐ Service

☐ Health Care

☐ Small Business

☐ Ineligible

Award Administration

For Official Use Only

2000 Eligibility Determination Package Check List

1. Eligibility Determination Form:

- a. Have all questions been answered completely?
___Yes ___No
- b. Is a line and box organization chart included that shows all components of the applicant's organization and the name of the head of each unit or division?
___Yes ___No
- c. If the applicant is a subunit of a larger organization,
- are line and box organization charts included that show the relationship of the applicant to the highest management level of the parent? Are all intervening levels and the names of the heads of each unit included?
___Yes ___No
 - are relevant sections/pages of an official document supporting the subunit designation included?
___Yes ___No
- d. Is the Eligibility Determination Form signed by the Highest-Ranking Official?
___Yes ___No

2. Letter of Transmittal:

Is the Eligibility Determination Package accompanied by a letter on the applicant's stationery and signed by the Highest-Ranking Official?

___Yes ___No

3. Fee:

Is a check or money order included for the \$100 nonrefundable eligibility determination fee made payable to: **The Malcolm Baldrige National Quality Award?**

___Yes ___No

If you have checked "No" for any question on this list, please recheck the instructions on pages 6-10 before submitting your Eligibility Determination Package.

The Baldrige National Quality Program welcomes your comments on the *2000 Application Forms & Instructions for Business, Education, and Health Care*, the Criteria, or the Award processes. Please address your comments to:

2000 Application Forms & Instructions for Business, Education, and Health Care
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, Maryland 20899-1020

or E-mail: nqp@nist.gov

or Web Address: <http://www.quality.nist.gov>

North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services on the first page of the Eligibility Determination Form. If you wish to access the NAICS codes on-line, connect to "http://www.census.gov," select "subjects A to Z," select "N," select "NAICS (North American Industry Classification System)."

<u>Code</u>	<u>Sector</u>	<u>Code</u>	<u>Sector</u>	<u>Code</u>	<u>Sector</u>
111	Crop Production	335	Electrical Equipment, Appliance and Component Manufacturing	5223	Activities Related to Credit Intermediation
112	Animal Production	3353	Electrical Equipment Manufacturing-Power Distribution and Specialty Transformer; Motor and Generator; Switchgear; and Relay and Industrial Control Manufacturing	523	Securities, Commodity Contracts and Other Intermediation
113	Forestry and Logging	3359	Other Electrical Equipment and Component Manufacturing-Battery; Communication and Energy Wire and Cable; and Wiring Device Manufacturing	5231	Securities and Commodity Contracts Intermediation
114	Fishing, Hunting and Trapping	336	Transportation Equipment Manufacturing	5232	Securities and Commodity Exchanges
115	Support Activities for Agriculture and Forestry	337	Furniture and Related Product Manufacturing	5239	Other Financial Investment Activities
211	Oil and Gas Extraction	339	Miscellaneous Manufacturing	524	Insurance Carriers and Related Activities
212	Mining (except Oil and Gas)	421	Wholesale Trade, Durable Goods	525	Funds, Trusts and Other Financial Vehicles (U.S. Organizations)
213	Support Activities for Mining	422	Wholesale Trade, Nondurable Goods	5251	Insurance and Employee Benefit Funds
221	Utilities	441	Motor Vehicle and Parts Dealers	5259	Other Investment Pools and Funds
233	Building, Developing and General Contracting	442	Furniture and Home Furnishings Stores	531	Real Estate
234	Heavy Construction	443	Electronics and Appliance Stores	532	Rental and Leasing Services
235	Special Trade Contractors	444	Building Material and Garden Equipment and Supplies Stores	533	Owners and Lessors of Other Non-Financial Assets
311	Food Manufacturing	445	Food and Beverage Stores	541	Professional, Scientific and Technical Services
312	Beverage and Tobacco Product Manufacturing	446	Health and Personal Care Stores	551	Management of Companies and Enterprises
313	Textile Mills	447	Gasoline Stations	561	Administrative and Support Services
314	Textile Product Mills	448	Clothing and Clothing Accessories Stores	562	Waste Management and Remediation Services
315	Apparel Manufacturing	451	Sporting Goods, Hobby, Book and Music Stores	611	Educational Services
316	Leather and Allied Product Manufacturing	452	General Merchandise Stores	621	Ambulatory Health Care Services
321	Wood Product Manufacturing	453	Miscellaneous Store Retailers	622	Hospitals
322	Paper Manufacturing	454	Nonstore Retailers	623	Nursing and Residential Care Facilities
323	Printing and Related Support Activities	481	Air Transportation	624	Social Assistance
324	Petroleum and Coal Products Manufacturing	482	Rail Transportation	711	Performing Arts, Spectator Sports and Related Industries
325	Chemical Manufacturing	483	Water Transportation	712	Museums, Historical Sites and Similar Institutions
326	Plastics and Rubber Products Manufacturing	484	Truck Transportation	713	Amusement, Gambling and Recreation Institutions
327	Nonmetallic Mineral Product Manufacturing	485	Transit and Ground Passenger Transportation	721	Accommodations (hotels)
331	Primary Metal Manufacturing	486	Pipeline Transportation	722	Food Services and Drinking Places
332	Fabricated Metal Product Manufacturing	487	Scenic and Sightseeing Transportation	811	Repair and Maintenance
333	Machinery Manufacturing	488	Support Activities for Transportation	812	Personal and Laundry Services
3331	Agriculture, Construction, and Mining Machinery Manufacturing	491	Postal Service	813	Religious, Grant Making, Civic, and Professional and Similar Organizations
3332	Industrial Machinery Manufacturing	492	Couriers and Messengers	921	Executive, Legislative, Public Finance and General
3333	Commercial and Service Industry Machinery Manufacturing	493	Warehousing and Storage Facilities	922	Justice, Public Order, Safety
3334	Ventilation, Heating, Air-Conditioning and Commercial Refrigeration Equipment Manufacturing	511	Publishing Industries	923	Administration of Human Resource Programs
3335	Metalworking Machinery Manufacturing	512	Motion Picture and Sound Recording Industries	924	Administration of Environmental Quality Programs
3336	Engine, Turbine, and Power Transmission Equipment	513	Broadcasting and Telecommunications	925	Administration of Housing Programs, Urban Planning
3339	Other General Purpose Machinery Manufacturing	514	Information Services and Data Processing Services	926	Administration of Economic Programs
334	Computer and Electronic Product Manufacturing	521	Monetary Authorities-Central Bank	927	Space Research and Technology
3341	Computer and Peripheral Equipment Manufacturing	522	Credit Intermediation and Related Activities	928	National Security and International Affairs
3342	Communications Equipment Manufacturing	5221	Depository Credit Intermediation	999	Unclassified Establishments
3344	Semiconductor and Other Electronic Component Manufacturing	5222	Non-Depository Credit Intermediation		

2000 Award Application Package Instructions

Instructions for responding to the Criteria and writing the Business/Organization Overview are included in each of the three Criteria Booklets. Use the Criteria appropriate to your eligibility category (Business, Education, or Health Care).

I. Purpose

The purpose of this section is to provide eligible applicants with instructions for preparing the Award Application Package. These instructions describe content, format, assembly, and submission requirements.

II. Objective

The objective of the Award Application Package is to allow the applicant to provide sufficient information to permit a rigorous evaluation by the Board of Examiners. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

III. Content Requirements

A. Application Report - All Applicants

Only an application report is required if an applicant has a single performance system that supports all of its product and/or service lines, and if the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **This is the case with most applicants.**

An application report must contain the following in the order listed:

- Front Cover — blank (no text, pictures, or figures) to help ensure confidentiality
- Title Page
- Labeled Tabs or Dividers
- Table of Contents
- Approved 2000 Eligibility Determination Form
- Organization Chart(s)
- 2000 Application Form
- Business/Organization Overview (5 pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (50 pages or less)

- Summary of Supplemental Sections, if applicable (2 pages or less — see information below under “B. Supplemental Sections”)

- Back Cover — blank

All units/subunits of the applicant must be included in the application report [and/or supplemental section(s)].

B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants may need to provide supplemental sections. Supplemental sections are intended to permit applicants with the most complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during eligibility determination. Once supplemental sections are approved, they must be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product and/or service lines that are supported by a single performance system.

Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant.

Each supplemental section must contain:

- Front Cover — blank (no text, pictures, or figures)
- Title Page
- Labeled Tabs or Dividers
- Table of Contents
- Organization Chart
- Summary of Supplemental Sections (2 pages or less)
- Business/Organization Overview (5 pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (35 pages or less)
- Back Cover — blank

IV. Format Requirements

The application report and supplemental section(s), if any, must meet the page limit, typing, and format requirements indicated below.

A. Page Limits and Exclusions

1. The Business/Organization Overview for the application report and each supplemental section is limited to five single-sided pages. If the Business/Organization Overview exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Business/Organization Overview can be found in each of the Criteria booklets.
2. The Responses Addressing All Criteria Items are limited to 50 single-sided pages, which must include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2000 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a.
3. The covers, dividers, tab separators, Table of Contents, Organization Chart(s), Eligibility Determination Form, Application Form, and Glossary of Terms and Abbreviations that contain only the subject material will not be counted as part of the page limit in either the application report or supplemental section(s). However, if these pages contain any additional material, such as text, quotations, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items. Each page will be counted as part of the total page count for that portion of the Application Package.
4. If the Responses Addressing All Criteria Items exceed the 50-page limit, the Official Contact Point will be asked to identify which pages will be removed.
5. The Summary of Supplemental Sections, if applicable, is limited to two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.
6. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.

B. Paper size: standard 8 1/2 by 11 inch

C. Typing

1. Font Size
 - fixed pitch font of 12 or fewer characters per inch OR

- proportional spacing font of point size 10 or larger

A typical document produced in Times Roman 10 point font will satisfy this requirement.

2. Line Spacing – Equivalent of two points of lead between lines. Note: *One point of lead equals 1/72, or 0.0138 inch.*
3. Font Style – Any font style may be used that meets the font size and line spacing requirements, but Helvetica and Times Roman or equivalent styles are preferred.
4. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

D. Format

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. A margin of at least 3/4 inch on the side of the page that is bound or fastened and at least 1/2 inch on the opposite side of the page is preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides.
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

E. Numbering

The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish; e.g., 1, ..., 50. Blank pages should not be numbered. All figures should be numbered.

V. Assembly Requirements

- A. All components of the application report and supplemental section(s) must be securely fastened to prevent separation during handling. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report.
- B. The use of bulky binders or similar heavy covers is discouraged.

- C. Video and audio tapes or other information aids are not acceptable.

VI. Submission Requirements

- A. Applicants must submit a 2000 Award Application Package containing:
1. Twenty-five individually bound copies of the complete application report and, if appropriate, twenty-five individually bound copies of each supplemental section.
 2. A check or money order covering the application fees for the application report and, if appropriate, each supplemental section. (See No. 5 of the Application Form Instructions on page 22 for specific fees.) The check or money order should be made payable to **The Malcolm Baldrige National Quality Award**.
- B. The 2000 Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 31, 2000, to be eligible for a 2000 Award. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the postal or overnight carrier.

The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled "Content Requirements" and "Format Requirements" along with the application fee.

Send the complete 2000 Award Application Package to:

Malcolm Baldrige National Quality Award
c/o ASQ — Baldrige Award Administration
611 East Wisconsin Avenue
Milwaukee, WI 53202
(414) 298-8789, Extension 7205

VII. Description of Application Report Parts

Each copy of the application report must contain:

- A. **Front Cover** — blank (no text, pictures, or figures).
- B. **Title Page** with the name of the applicant and, optionally, the applicant's address, pictures, and logo; the date; a statement indicating that this is an application for the 2000 Malcolm Baldrige National Quality Award; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.
- C. **Labeled Tabs or Dividers** separating the sections of the report and containing only the title of the section. No further information or text about the applicant may be included on the Tabs or Dividers.

- D. **Table of Contents** indicating the page number of the following: the approved 2000 Eligibility Determination Form, the Organization Chart(s), the 2000 Application Form, the Business/Organization Overview, the Glossary of Terms and Abbreviations, and each Category and Item. Areas to Address, tables, and figures need not be included in the Table of Contents.
- E. **2000 Eligibility Determination Form** approved by ASQ, including all Site Listing and Descriptors pages and, if the applicant is a subunit, line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization.
- F. **Line and box organization chart(s) of the applicant** with sufficient detail for Examiners to understand the relationships among the applicant's subunits.
- G. **2000 Application Form** (see page 23) signed by the applicant, indicating that the applicant agrees to the terms and conditions of the Award process and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations.
- H. **Business/Organization Overview** outlining the applicant's organization, addressing what is most important to the organization as well as the key business/organization factors that influence how the organization operates and where it is headed. A vital part of the overall application, the Business/Organization Overview is used by the Examiners in all stages of the application review.
- I. **Glossary of Terms and Abbreviations** used in the application report and each supplemental section.
- J. **Responses Addressing All Criteria Items**
- Respond to each Item as a whole. Address the set of Areas with an emphasis that reflects the applicant's organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. Address activities in foreign sites in the appropriate Items.
 - If an Area to Address does not pertain to the applicant's organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.
- K. If applicable, provide a **Summary of Supplemental Sections** — a brief description of each supplemental section, including the products, services, and NAICS codes.
- L. **Back Cover** — blank.

Application Form – Instructions

Instructions

Provide all information requested. A copy of the 2000 Application Form must be included in each of the 25 copies of the application report, as described on page 19.

1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

2. Award Category

From the approved 2000 Eligibility Determination Form, indicate the eligibility category under which the applicant was approved and which Criteria are being used.

3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the American Society for Quality (ASQ) or the Baldrige National Quality Program will be limited to this Official Contact Point. This person should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, to answer inquiries, or to arrange a site visit.

If the Official Contact Point changes during the course of the application process, please inform ASQ.

4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or to convey a message to the Official Contact Point. Please designate a person who is available during regular business hours.

5. Fee

Fee payment must be submitted with the application. The fees for the application report are: \$4500 for manufacturing, service, for-profit education institutions, and for-profit and not-for-profit health care organizations with more than 500 employees; \$1500 for small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees; and \$300 for not-for-profit education institutions. A fee of \$1500 is required for supplemental sections.

6. Release Statement

Please read this section carefully. A signed application indicates that the applicant agrees to the terms and conditions stated therein.

7. Signature, Highest-Ranking Official

The applicant's Highest-Ranking Official must sign in the space provided, indicating that the applicant will comply with the terms and conditions stated in the document. Type that person's name, title, address, and telephone number, as indicated.

2000 Application Form

Malcolm Baldrige National Quality Award

1 Applicant

Name _____

Mailing Address _____

2 Award Category (Check one.)

☐ Manufacturing ☐ Service ☐ Small Business
☐ Education ☐ Health Care

For small businesses, indicate whether the larger percentage of sales is in service or manufacturing.
(Check one.)

☐ Service ☐ Manufacturing

Criteria being used (Check one.)

☐ Business ☐ Education ☐ Health Care

3 Official Contact Point

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Mailing Address _____

Overnight
Mailing Address (Do not use P.O. Box number.) _____

Telephone No. _____

Fax No. _____

4 Alternate Official Contact Point

Mr.
Mrs.
Ms.
Name Dr. _____

Telephone No. _____

Fax No. _____

5 Fee (See page 5 for instructions.)

Enclosed is \$_____ to cover one application report and _____ supplemental sections.

Make check or money order payable to:

The Malcolm Baldrige National Quality Award

6 Release Statement

We understand that this application will be reviewed by members of the Board of Examiners.

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that the organization must pay reasonable costs associated with a site visit.

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

7 Signature, Highest-Ranking Official

Date _____

X

Mr.
Mrs.
Ms.
Name Dr. _____

Title _____

Applicant Name _____

Mailing Address _____

Telephone No. _____

OMB Clearance #0693-0006
Expiration Date: October 31, 2002

This form may be copied and attached to, or bound with, other application materials.

How to Order Copies of Baldrige Program Materials

Award Materials

Individual Orders

Individual copies of the Criteria booklets and the *2000 Application Forms & Instructions for Business, Education, and Health Care* can be obtained free of charge from the Baldrige National Quality Program at NIST. Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov.

Bulk Orders

Multiple copies of the *2000 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$29.95 plus shipping and handling from the American Society for Quality (ASQ).

2000 Business Criteria — Item Number T1101
2000 Education Criteria — Item Number T1103
2000 Health Care Criteria — Item Number T1102

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order online from ASQ's website at <http://www.asq.org>.

Payment

Your payment options include: check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders:

Order Amount	U.S. Charges	Canadian Charges
0 – \$34.99	\$ 4.00	\$ 9.00
\$35.00 – \$99.99	6.25	11.25
Over \$100.00	12.50*	17.50

- There is an additional charge of 25 percent of the total order amount for shipments outside the United States/Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.

- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.
- * *If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The items listed below are a sample of the educational materials that may be ordered from ASQ.

- **Case Studies** The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet is illustrative of an application for the Baldrige Award and is useful in understanding the benefits of the Baldrige process, as well as for self-assessment, planning, training, and other uses.
 - **1999 Business Case Study Packet: Collin Technologies** (*Based on the 1999 Criteria for Performance Excellence*) Item Number T1079: \$49.95 plus shipping and handling
 - **1998 Business Case Study Packet: Gemini Home Health Services** (*Based on the 1998 Criteria for Performance Excellence*) Item Number T1083: \$49.95 plus shipping and handling
 - **Education Case Study Packet: Ridgecrest School District** (*Based on the 1995 Education Pilot Criteria*) Item Number T1023: \$7.28 plus shipping and handling
 - **Health Care Case Study Packet: Pinnacle Health Plan** (*Based on the 1995 Health Care Pilot Criteria*) Item Number T1029: \$7.28 plus shipping and handling
- **Award Recipients' Videos** The Award recipients' videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 1999 Award recipients' video is provided below. Videos about Award recipients from other years also are available from ASQ.
 - **1999 Award Recipients' Video** Item Number T1086: \$20.00 plus shipping and handling (*Available March 2000*)

Quest For Excellence XII Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XII will showcase the 1999 recipients.

For the last 11 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. CEOs and other leaders from the Award recipients who are transforming their organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance

excellence, and their lessons learned. Conference attendees will have the opportunity to ask questions of the Award recipients. This three-day conference is designed to maximize learning and networking opportunities.

The Quest for Excellence XII Conference will be held March 12-15, 2000, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact the National Institute of Standards and Technology (NIST), Baldrige National Quality Program, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov.

Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (Award). The information obtained will assist in determining the winners. Responses to the collection of information are required to be considered for the Award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for

reviewing instructions, searching existing data sources, gathering and maintaining the relevant data, and completing and reviewing the collection of information). As the organization reapplies for the Award in future years, it is possible that this burden will change, in either direction, based on the feedback the respondent gains from their first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Dr. Harry Hertz, Director, Baldrige National Quality Program, NIST, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

Baldrige National Quality Program

**United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program**

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Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST) is a non-regulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to strengthen the U.S. economy and improve the quality of life by working with industry to develop and apply technology, measurements, and standards. The Baldrige National Quality Program at NIST manages the Malcolm Baldrige National Quality Award.

Call the Baldrige National Quality Program for:

- information on applying for the Baldrige Award
- information on the Malcolm Baldrige National Quality Award process and eligibility requirements
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Business, Education, and Health Care (no cost)
- information on other Baldrige National Quality Program materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web Address: <http://www.quality.nist.gov>

American Society for Quality

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The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order:

- bulk copies of the Criteria
- case studies
- Award recipients' videos

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: asq@asq.org
Web Address: <http://www.asq.org>

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